

MAY. 9. 2005 3:41PM

EDWARDS LEGAL DEPT. 949-250-6885

NO. 2527CV-P. 8/16



UNITED STATES DEPARTMENT OF COMMERCE  
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OCTOBER 18, 2001

PTAS

EDWARDS LIFESCIENCES LLC  
JOHN CHRISTOPHER JAMES  
LAW DEPARTMENT  
ONE EDWARDS WAY  
IRVINE, CALIFORNIA 92614



\*101813926A\*

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OCT 23 2001

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

EDWARDS  
LIFESCIENCES

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/13/2001

REEL/FRAME: 012070/0931  
NUMBER OF PAGES: 7

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HELMUS, MICHAEL N.

DOC DATE: 07/09/2001

ASSIGNOR:

CUNANAN, CRYSTAL M.

DOC DATE: 07/11/2001

ASSIGNOR:

TREMBLE, PATRICE

DOC DATE: 07/25/2001

ASSIGNEE:

EDWARDS LIFESCIENCES CORPORATION  
ONE EDWARDS WAY  
IRVINE, CALIFORNIA 92614

SERIAL NUMBER: 09771480  
PATENT NUMBER:

FILING DATE: 01/25/2001  
ISSUE DATE:

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EDWARDS LEGAL DEPT. 949-250-6885

NO. 2527 P. 9/16

012070/0931 PAGE 2

JOANN STEWART, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

MAY. 9. 2005 3:42PM

EDWARDS LEGAL DEPT. 949-250-6885

NO. 2527 P. 10/16

08-17-2001

Docket No.: ECV-5587



SHEET

101813926

8.13.01

To the Director U.S. Patent and Trademark Office: Please record the attached original document(s) or copy thereof

1. Name of Conveying Parties:

Michael N. Helms, executed on July 9, 2001  
Crystal M. Cunanan, executed on July 11, 2001  
Patrice Tremble, executed on July 25, 2001

2. Name and Address of Receiving Party(ies):

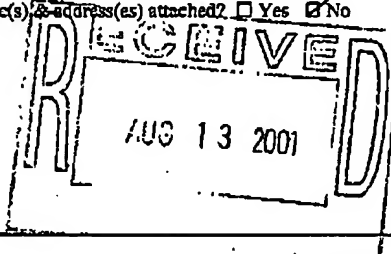
Edwards Lifesciences Corporation  
One Edwards Way  
Irvine, CA 92614

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_



4. Application Number(s) or Patent Number(s):

If this document is being filed together with a new application, the execution date of the application is \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

09/771,480

Additional numbers attached? ☐ Yes ☒ No

5. Name and Address of Party To Whom Correspondence Concerning Document Should Be Mailed:

John Christopher James  
EDWARDS LIFESCIENCES LLC  
Law Department  
One Edwards Way  
Irvine, California 92614

6. Total Number of Applications and Patents Involved: 1

7. Total Fee (37CFR 3.41).....\$40.00

- ☐ Enclosed  
☒ Authorized To Be Charged To Deposit Account

8. Deposit Account Number: 501225(ECV-5587)

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9. Statement and Signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John Christopher James, 40,660  
Name of Person Signing and Reg. No.

John Christopher James  
Signature

Aug 10, 2001  
Date

Total Number of Pages including Coversheet, Attachments and Document: 7

08/16/2001 LNUELLER 00000083 501225 09771480

01 FC:581 40.00 CH

Docket No.: ECV-5587  
Applicator No.: 09/771,480

Filed: January 25, 2001

ASSIGNMENT  
(Joint Inventors)

In consideration of one dollar (\$1.00) and other good and valuable considerations, the receipt and sufficiency whereof are hereby acknowledged, we hereby assign to EDWARDS LIFESCIENCES CORPORATION (hereinafter referred to as "assignee"), a corporation of Delaware, having a principal place of business at One Edwards Way, Irvine, California, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in our invention or improvements in DELIVERY SYSTEM FOR PERIADVENTITIAL DELIVERY FOR TREATMENT OF RESTENOSIS AND ANASTOMATIC INTIMAL HYPERPLASIA, and the application for Letters Patent of the United States therefor, executed by each of us individually on the date(s) indicated below and any and all other United States applications and applications in any and all countries which we may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States or of any other country which may be obtained on any of said applications, and in any reissue, reexam or extension thereof.

We hereby authorize and request the Commissioner of Patents to issue said Letters Patent to said EDWARDS LIFESCIENCES CORPORATION

We hereby authorize and request the attorneys of record in said application to insert in this Assignment the date and serial number of said application when officially known.

We warrant ourselves to be the owners of the interest herein assigned and to have the right to make this assignment; and further warrant that there are no outstanding prior assignments, licenses, or other rights in the interest herein assigned.

For said consideration we hereby agree, upon the request and at the expense of said assignee, its successors, legal representatives and assigns, to execute any and all divisional, continuation, and C-I-P applications for said invention or improvements, and any necessary oath or supplemental oath or affidavit relating thereto, and any application for the reissue, reexam or extension of any Letters Patent that may be granted upon said application that said assignee, its successors, legal representatives and assigns may deem necessary or expedient. For said consideration we further agree, upon the request of said assignee, its successors, legal representatives and assigns, in the event of said application or any division, continuation, or C-I-P thereof, or Letters Patent issued thereon, or any reexam, reissue or application for the reissue thereof becoming involved in interference, to cooperate to the best of our ability with said assignee, its successors, legal representatives and assigns in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof. We further agree to perform, upon such request, any and all affirmative acts to obtain Letters Patent, and vest all rights therein hereby conveyed in said assignee, its successors, legal representatives and assigns whereby said Letters Patent will be held and enjoyed by said assignee, its successors, legal representatives and assigns to the end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made, and for said considerations we hereby also assign to said assignee, its successors, legal representatives and assigns the entire rights, title and interest in said invention or improvements for any and all foreign countries and the right of priority for patent and utility model applications in all countries arising under any applicable international convention for the protection of industrial property and/or any internal priority legislation of such countries, and we further agree upon the request of said assignee, its successors, legal representatives and assigns to execute any and all documents that shall be required to be executed in connection with any and all applications for foreign Letters Patent therefor, including the prosecution thereof, and to execute any and all documents necessary to invest title in said foreign applications and patents in said assignee.

Date July 9, 2001 Signature X Michael N. Helmus

Typed Name: Michael N. Helmus

State of New York, County of \_\_\_\_\_

On July 9, 2001 before me, Beth Cormier Notary Public, personally appeared Michael N. Helmus, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Beth J. Cormier (Seal)  
Signature of Notary

Date \_\_\_\_\_ Signature \_\_\_\_\_

Typed Name: Crystal M. Cunanan

State of California, County of Orange

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared Crystal M. Cunanan, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)

MAY. 9. 2005 3:43PM

EDWARDS LEGAL DEPT. 949-250-6885

NO. 2527 P. 12/16

Docket No.: ECV-5587

Application No.: 09/771,480

Filed: January 25, 2001

ASSIGNMENT  
(Joint Inventors)

Date \_\_\_\_\_ Signature \_\_\_\_\_

Typed Name: Patrice Tremble

State of California, County of Orange

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public,  
personally appeared Patrice Tremble, personally known to me (or proved to  
me on the basis of satisfactory evidence) to be the person whose name is  
subscribed to the within instrument and acknowledged to me that she  
executed the same in her authorized capacity, and that by her signature on  
the instrument the person, or the entity upon behalf of which the person  
acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)

Docket No.: ECV-5587

Application No.: 09/771,480

Filed: January 25, 2001

ASSIGNMENT  
(Joint Inventors)

In consideration of one dollar (\$1.00) and other good and valuable considerations, the receipt and sufficiency whereof are hereby acknowledged, we hereby assign to EDWARDS LIFESCIENCES CORPORATION (hereinafter referred to as "assignee"), a corporation of Delaware, having a principal place of business at One Edwards Way, Irvine, California, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in our invention or improvements in DELIVERY SYSTEM FOR PERIADVENTITIAL DELIVERY FOR TREATMENT OF RESTENOSIS AND ANASTOMATIC INTIMAL HYPERPLASIA, and the application for Letters Patent of the United States therefor, executed by each of us individually on the date(s) indicated below and any and all other United States applications and applications in any and all countries which we may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States or of any other country which may be obtained on any of said applications, and in any reissue, reexam or extension thereof.

We hereby authorize and request the Commissioner of Patents to issue said Letters Patent to said EDWARDS LIFESCIENCES CORPORATION

We hereby authorize and request the attorneys of record in said application to insert in this Assignment the date and serial number of said application when officially known.

We warrant ourselves to be the owners of the interest herein assigned and to have the right to make this assignment; and further warrant that there are no outstanding prior assignments, licenses, or other rights in the interest herein assigned.

For said consideration we hereby agree, upon the request and at the expense of said assignee, its successors, legal representatives and assigns, to execute any and all divisional, continuation, and C-I-P applications for said invention or improvements, and any necessary oath or supplemental oath or affidavit relating thereto, and any application for the reissue, reexam or extension of any Letters Patent that may be granted upon said application that said assignee, its successors, legal representatives and assigns may deem necessary or expedient. For said consideration we further agree, upon the request of said assignee, its successors, legal representatives and assigns, in the event of said application or any division, continuation, or C-I-P thereof, or Letters Patent issued thereon, or any reexam, reissue or application for the reissue thereof becoming involved in interference, to cooperate to the best of our ability with said assignee, its successors, legal representatives and assigns in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof. We further agree to perform, upon such request, any and all affirmative acts to obtain Letters Patent, and vest all rights therein hereby conveyed in said assignee, its successors, legal representatives and assigns whereby said Letters Patent will be held and enjoyed by said assignee, its successors, legal representatives and assigns to the end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made, and for said considerations we hereby also assign to said assignee, its successors, legal representatives and assigns the entire rights, title and interest in said invention or improvements for any and all foreign countries and the right of priority for patent and utility model applications in all countries arising under any applicable international convention for the protection of industrial property and/or any internal priority legislation of such countries, and we further agree upon the request of said assignee, its successors, legal representatives and assigns to execute any and all documents that shall be required to be executed in connection with any and all applications for foreign Letters Patent therefor, including the prosecution thereof, and to execute any and all documents necessary to invest title in said foreign applications and patents in said assignee.

Date \_\_\_\_\_ Signature \_\_\_\_\_

Typed Name: Michael N. Helmus

State of New York, County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared Michael N. Helmus, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)

Date 7/11/01 Signature Crystal M. Cunanan

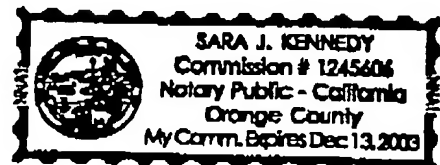
Typed Name: Crystal M. Cunanan

State of California, County of Orange

On 7/11/01 before me, Sara Kennedy, Notary Public, personally appeared Crystal M. Cunanan, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Sara Kennedy (Seal)  
Signature of Notary



MAY. 9. 2005 3:43PM

EDWARDS LEGAL DEPT. 949-250-6885

NO. 2527 P. 14/16

Docket No.: ECV-5537

Application No.: 09/771,480

Filed: January 25, 2001

ASSIGNMENT  
(Joint Inventors)

Date \_\_\_\_\_ Signature \_\_\_\_\_

Typed Name: Patrice Tremble

State of California, County of Orange

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public,  
personally appeared Patrice Tremble, personally known to me (or proved to  
me on the basis of satisfactory evidence) to be the person whose name is  
subscribed to the within instrument and acknowledged to me that she  
executed the same in her authorized capacity, and that by her signature on  
the instrument the person, or the entity upon behalf of which the person  
acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)

MAY. 9. 2005 3:44PM

EDWARDS LEGAL DEPT. 949-250-6885

NO. 2527 P. 15/16

Docket No.: ECV-5587

Application No.: 09/771,480

Filed: January 25, 2001

ASSIGNMENT  
(Joint Inventors)

Date 7/25/01 Signature X Patrice Tremble

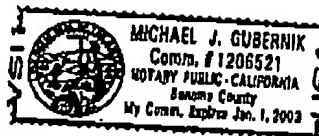
Typed Name: Patrice Tremble

State of California, County of Orange

On July 25, 2001 before me, Michael J. Gubernik, Notary Public, personally appeared Patrice Tremble, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Michael J. Gubernik (Seal)  
Signature of Notary





Docket No.: ECV-5587  
Application No.: 09/771,480

Filed: January 25, 2001

ASSIGNMENT  
(Joint Inventors)

In consideration of one dollar (\$1.00) and other good and valuable considerations, the receipt and sufficiency whereof are hereby acknowledged, we hereby assign to EDWARDS LIFESCIENCES CORPORATION (hereinafter referred to as "assignee"), a corporation of Delaware, having a principal place of business at One Edwards Way, Irvine, California, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in our invention or improvements in DELIVERY SYSTEM FOR PERIADVENTITIAL DELIVERY FOR TREATMENT OF RESTENOSIS AND ANASTOMATIC INTIMAL HYPERPLASIA, and the application for Letters Patent of the United States therefor, executed by each of us individually on the date(s) indicated below and any and all other United States applications and applications in any and all countries which we may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States or of any other country which may be obtained on any of said applications, and in any reissue, reexam or extension thereof.

We hereby authorize and request the Commissioner of Patents to issue said Letters Patent to said EDWARDS LIFESCIENCES CORPORATION

We hereby authorize and request the attorneys of record in said application to insert in this Assignment the date and serial number of said application when officially known.

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For said consideration we hereby agree, upon the request and at the expense of said assignee, its successors, legal representatives and assigns, to execute any and all divisional, continuation, and C-I-P applications for said invention or improvements, and any necessary oath or supplemental oath or affidavit relating thereto, and any application for the reissue, reexam or extension of any Letters Patent that may be granted upon said application that said assignee, its successors, legal representatives and assigns may deem necessary or expedient. For said consideration we further agree, upon the request of said assignee, its successors, legal representatives and assigns, in the event of said application or any division, continuation, or C-I-P thereof, or Letters Patent issued thereon, or any reexam, reissue or application for the reissue thereof becoming involved in interference, to cooperate to the best of our ability with said assignee, its successors, legal representatives and assigns in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof. We further agree to perform, upon such request, any and all affirmative acts to obtain Letters Patent, and vest all rights therein hereby conveyed in said assignee, its successors, legal representatives and assigns whereby said Letters Patent will be held and enjoyed by said assignee, its successors, legal representatives and assigns to the end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made, and for said considerations we hereby also assign to said assignee, its successors, legal representatives and assigns the entire rights, title and interest in said invention or improvements for any and all foreign countries and the right of priority for patent and utility model applications in all countries arising under any applicable international convention for the protection of industrial property and/or any internal priority legislation of such countries, and we further agree upon the request of said assignee, its successors, legal representatives and assigns to execute any and all documents that shall be required to be executed in connection with any and all applications for foreign Letters Patent therefor, including the prosecution thereof, and to execute any and all documents necessary to invest title in said foreign applications and patents in said assignee.

Date \_\_\_\_\_ Signature \_\_\_\_\_  
Typed Name: Michael N. Helmus  
State of New York, County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared Michael N. Helmus, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)

Date \_\_\_\_\_ Signature \_\_\_\_\_  
Typed Name: Crystal M. Cunanan  
State of California, County of Orange

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared Crystal M. Cunanan, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)